



PATENT  
Docket No. 2026-4236US1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Nelson et al..

Group Art Unit: 1633

Serial No. : 09/242,202

Examiner: Stroup, C.

Filed : May 10, 1999

For : A VECTOR FOR POLYNUCLEOTIDE VACCINES

TECH CENTER 1600/2900

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TRANSMITTAL LETTER

VIA HAND CARRY

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to the Examiner's request, applicants provide herewith a copy of the papers and computer diskette filed on May 1, 2000 in response to a Notice to Comply with Requirements for Patent Application containing Nucleotide Sequence and/or Amino Acids Sequence Disclosure. This Notice was dated from the USPTO on April 3, 2000.

Applicants' response was filed on May 1, 2000 and received in the Patent Office on May 5, 2000 as evidenced on the stamped return postcard also attached hereto. Thus, Applicants' response was timely filed.

No fee is believed due. The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment to Deposit Account No. 13-4500. Order No. 2026-4236US1. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

By: Dorothy R. Auth

Dorothy R. Auth  
Registration No. 36,434

Date: August 14, 2001

MORGAN & FINNEGAN, L.L.P.  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Nelson, et al.

Group Art Unit: 1633

Serial No. : 09/242,202

Examiner: Stroup, C.

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CERTIFICATE OF MAILING (37 C.F.R. 1.8(a))

ASSISTANT COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

Sir:

I hereby certify that the attached (1) Response to Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures; (2) computer diskette containing the computer readable Sequence Listing; (3) paper copy of the Sequence Listing; (4) Statement Under 37 C.F.R. §1.821(f); (5) copy of Notice to Comply with Requirements; and (6) Return postcard (along with any paper(s) referred to as being attached or enclosed) and this Certificate of Mailing are being deposited with the United States Postal Service on the date shown below with sufficient postage as first-class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

By: Dorothy R. Auth  
Dorothy R. Auth  
Reg. No. 36,434

Date: May 1, 2000

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PATENT  
Docket No. 2026-4236US1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Applicant(s) : Nelson, G. et al.                      Group Unit: 1633  
Serial No. : 09/242,202                                  Examiner: Stroup, C.  
Filed : November 1, 1999  
For : A VECTOR FOR POLYNUCLEOTIDE VACCINES

Assistant Commissioner for Patents  
Washington, D.C. 20231

**RESPONSE TO NOTICE TO COMPLY WITH REQUIREMENTS  
FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE  
SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

Dear Sir:

In response to the Notice to Comply with the Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures, dated April 3, 2000, applicants submit herewith: (1) a computer diskette containing the computer readable Sequence Listing for the above-identified patent application; (2) a paper copy of the Sequence Listing; and (3) a Statement Under 37 C.F.R. §1.821(f) indicating that the paper copy is identical to the computer-readable copy of the Sequence Listing. Also submitted is a copy of the Notice to Comply with Sequence Listing Requirements as received from the U.S.P.T.O. No new matter is presented in the computer readable and written forms of the Sequence Listing. Entry of Sequence Listing into the instant application is respectfully requested.

**AUTHORIZATION**

No fee is believed to be necessary.

Should any fee(s) be required by the filing of this Response, the Commissioner is hereby authorized to charge any additional fees which may be required for this response, or credit any overpayment to Deposit Account No. 13-4500, Order No. 2026-4236US1.

In the event that an extension of time is required, or which may be required in addition to that requested in a petition and for an extension of time, the Commissioner is requested to grant a petition for that extension of time which is required to make this response timely and is hereby authorized to charge any fee for such an extension of time or credit any overpayment for an extension of time to Deposit Account No. 13-4500, Order No. 2026-4236US1. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Dated: May 1, 2000

By: 

Dorothy R. Auth  
Registration No.: 36,434

Correspondence Address:

Morgan & Finnegan, L.L.P.  
345 Park Avenue  
New York, New York 10154  
(212) 758-4800  
(212) 751-6849 Telecopier



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Case No. 2026-4236US1 Serial No. 09/242,202  
Date Mailed May 1, 2000 ATTY DRA  
Date Due in the Patent Office May 3, 2000

The return of this post card, properly stamped, will acknowledge receipt in the Patent & Trademark Office of the following:

- 1.- Response to Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures;
- 2.- computer diskette containing the computer readable Sequence Listing;
- 3.- paper copy of the Sequence Listing;
4. Statement Under 37 C.F.R. §1.821(f);
- 5.- copy of Notice to Comply with Requirements; and
- 6.- Certificate of Mailing (37 C.F.R. 1.8(a)).





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VIA HAND CARRY  
Case No. 2026-4236US1 Serial No. 09/242,202  
Date Mailed August 15, 2001 ATTY DRA  
Date Due in the Patent Office \_\_\_\_\_

The return of this post card, properly stamped, will  
acknowledge receipt in the Patent & Trademark Office  
of the following:

**HAND CARRY**

- 1.- Transmittal Letter;
- 2.- Copy of stamped return postcard;
- 3.- Copy of Certificate of Mailing;
- 4.- Copy of Response to Notice to Comply with Requirements for  
Patent Applications Containing Nucleotide Sequence and/or  
Amino Acid Sequence Disclosures;
- 5.- Copy of computer diskette containing the computer readable  
Sequence Listing;
- 6.- Copy of paper copy of the Sequence Listing;
- 7.- Statement Under 37 C.F.R. §1.821(f);
- 8.- Copy of Notice to Comply with Requirements; and
- 9.- Return postcard.

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Docket No. 2026-4236US1

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Nelson, et al.                      Group Art Unit: 1632  
Serial No. : 09/242,202                      Examiner: Li, Q.  
Filed : November 1, 1999  
For : A VECTOR FOR POLYNUCLEOTIDE VACCINES

CERTIFICATE OF MAILING (37 C.F.R. 1.8(a))

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

Sir:

I hereby certify that the attached (1) Response to Restriction Requirement; (2) Copy of the Sequence List filed on May 1, 2000 and August 14, 2001 and (3) Return postcard (along with any paper(s) referred to as being attached or enclosed) and this Certificate of Mailing are being deposited with the United States Postal Service on the date shown below with sufficient postage as first-class mail in an envelope addressed to the: Commissioner for Patents, Washington, D.C. 20231.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Date: October 12, 2001

By: Dorothy R. Auth

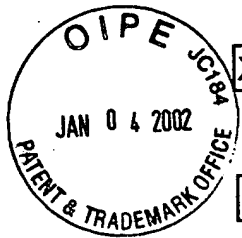
Dorothy R. Auth  
Reg. No. 36,434

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FORM: CERTMAIL.NY  
Rev. 3/27/95

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):



- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☒ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☐ 7. Other: \_\_\_\_\_

**Applicant Must Provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

For CRF Submission Help, call (703) 308-4212

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